United Nations ST/AI/189/Add.6/Rev.5

Secretariat

22 August 2008

Administrative instruction

Regulations for the control and limitation of documentation

Addendum

Attribution of authorship in United Nations documents, publications and other official papers

The Under-Secretary-General for Management, pursuant to section 4.2 of Secretary-General's bulletin ST/SGB/1997/1, and for the purposes of amending the provisions, procedures and policy on attribution of authorship in United Nations documents, publications and other official papers, promulgates the following instruction, which replaces ST/AI/189/Add.6/Rev.4 of 12 February 1996 and ST/AI/189/Add.6/Rev.3 of 19 March 1990 on the same topic.

Section 1
General principles

1.1 The present instruction applies to all United Nations documents and publications, including papers prepared in the Secretariat in connection with meetings, seminars and technical cooperation projects, as well as newsletters and working papers intended for distribution outside the Secretariat.

1.2 The present instruction establishes the Organization's policy on the attribution of authorship in United Nations documents, publications and other official papers and should be read in conjunction with administrative instruction ST/AI/189/Add.2 and Amend.2, entitled "Covers and title pages of publications".

1.3 The present instruction allows for flexibility in the choice of materials where attribution, including to individual authors, is permitted, in the form in which attribution is made and in its placement. It also seeks to establish appropriate safeguards to ensure that attribution is consistent with relevant legislative mandates and the responsibilities of the Secretary-General. In case of doubt regarding the relevance and interpretation of the legislative authority, the Office of Legal Affairs shall be consulted and its views shall be forwarded to the Publications Board for its decision.

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1.4 Attribution of authorship shall not be considered in the following categories:

(a) Public information material: brochures, pamphlets, press releases, flyers, catalogues and other materials designed primarily to inform the public about United Nations activities. Public information material offered in publications, however, may have attribution;

(b) Materials of a highly political nature or texts expressly designed to formulate or state official United Nations policy.

Section 2
Attribution in United Nations documents

2.1 United Nations documents are issued for or under the authority of intergovernmental bodies under a United Nations document symbol and include all official records and meeting records of organs or conferences of the United Nations. Attribution in United Nations documents is regulated according to established rules and practices under the authority of the Department for General Assembly and Conference Management. Detailed rules and models for most United Nations documents, including documents prepared by the Secretary-General, the Secretariat and intergovernmental and expert bodies, as well as resolutions and other formal decisions of United Nations organs, may be found in the *United Nations Editorial Manual Online* (http://157.150.189.51/translation/editorial/). Some general indications concerning attribution in United Nations documents are set out below.

2.2 United Nations documents normally bear, in addition to a title corresponding to the subject or agenda item, a subtitle indicating the entity or official responsible for submitting the document. In documents prepared for a body that does not have a sessional agenda, the main title may contain that information.

Examples

Report of the Secretary-General

Note by the Secretary-General

Algeria: draft resolution

Working paper prepared by the Secretariat

Letter from the Permanent Representative of ... to the United Nations addressed to ...

Report of the Special Committee on ...

2.3 Documents originating in the Secretariat shall be attributed to the Secretary-General in the following cases: (a) if they deal with policy questions that engage the responsibility of the Secretary-General; (b) if they involve formal acts carried out by the Secretary-General under a provision of the Charter of the United Nations or of the rules of procedure of an organ; or (c) if they have been prepared in accordance with a request expressly addressed to the Secretary-General. Documents dealing with detailed and technical matters not requiring policy clearance are normally attributed to the Secretariat.

2.4 Documents may, as appropriate, be attributed, by official title only, to the presiding officer of a major conference, regional commission or other United

Nations body. When a document is attributed to a rapporteur or special rapporteur, the name — and, if a rapporteur, the country — may also be given.

Section 3
Attribution in United Nations publications

3.1 The cover and title page of United Nations publications may bear the name of the department, regional commission, major conference or other United Nations body in which the publication originated. Attribution may not be made to any unit of the Secretariat smaller than a department, office or regional commission, except as provided for in paragraphs 3.4 and 3.5 below.

3.2 In a preface, foreword or introduction, attribution may also be made to any properly identified organizational unit of the Secretariat not below the level of a division (except as provided for in paras. 3.4 and 3.5 below) that had a major responsibility in the preparation of the publication.

3.3 The specific categories of United Nations publication defined in paragraphs 3.4 and 3.5 below may bear attribution to organizational units smaller than a department, office or regional commission, or to individuals, as deemed appropriate by the author department concerned. This policy, namely attribution to individual authors, has the following objectives: (a) to acknowledge original intellectual contributions in the preparation of United Nations publications and reports; (b) to facilitate a dialogue with the international academic and professional communities in order to advance United Nations objectives in relation to political, economic and social issues of global concern and, thereby, enhance the image of the United Nations; (c) to provide appropriate recognition of the intellectual accomplishment of individual staff working in the Organization; (d) to assure current and potential staff members, known to be experts in their respective fields, that their professional work in the Organization will be recognized among their peers; (e) to increase staff responsibility in the creation of high-quality publications and reports; and (f) to enhance the sales potential of United Nations publications.

3.4 For the following categories of publication:

(a) Flagship and other major United Nations publications in the economic, social and related fields;

(b) Intergovernmental reports and major publications substantially edited for wider public dissemination;

attribution to organizational units smaller than a department, office or regional commission, or to individual authors, may appear anywhere in the publication, as deemed appropriate by the author department concerned, **except** on the front cover, title page or reverse-of-title page. Specific placement of attribution of authorship for these categories of publication is provided in the annex to the present instruction.

3.5 For the following categories of publication:

(a) Specialized technical publications, including collections of scholarly papers;

(b) United Nations periodicals;

attribution to organizational units smaller than a department, office or regional commission, or to individual authors, may appear anywhere in the publication, as deemed appropriate by the author department concerned, **including** on the front cover, title page or reverse-of-title page. Specific placement of attribution of authorship in these categories of publication is provided in the annex to the present instruction.

3.6 The wishes of individuals who may choose not to receive attribution in a particular publication must be honoured by the author departments concerned.

Section 4
Signature of forewords and prefaces

In publications prepared by the Secretariat, a foreword or preface may be signed only by the Secretary-General or, as appropriate and upon his instructions, by an Under-Secretary-General, an Assistant Secretary-General or an official who is authorized to assume responsibility for the publication.

Section 5
Attribution in letters of transmittal

Individual or collective authors outside the Secretariat wishing to acknowledge assistance provided by members of the Secretariat in the preparation of a report should be advised that the appropriate way of doing so is by mentioning the department or office concerned in a letter of transmittal addressed to the Secretary-General. They may also refer by name to relevant members of the Secretariat.

Section 6
Attribution to consultants

6.1 As a general rule, attribution or other reference to consultants may be made at the discretion of the Secretary-General, consistent with the provisions of the present instruction.

6.2 When a consultant is engaged to prepare a report of the Secretary-General, usually in response to a request from a legislative body, authorship of the report shall not be attributed to the consultant. A reference may in appropriate cases be made in a footnote to the consultant's contribution to the report.

6.3 The above notwithstanding, it should be noted that all rights (title, copyright and patent rights) to any work remain with the United Nations. In the case of consultants, provision is made through the use of the United Nations Contracts for Services of a Consultant or Individual Contractor and in the General Conditions of Contracts for the Services of Consultants or Individual Contractors, attached to the contracts. In the absence of those clauses in the contract, the United Nations should enter into specific written agreement with the consultant concerning ownership of copyright in the work, in accordance with the present paragraph. Such an agreement would provide that, to the extent the consultant has any copyright or other intellectual property rights in the work being produced and attributed to him or her, he or she thereby irrevocably transfers all such rights to the United Nations. In case

of doubt, the Office of Legal Affairs should be consulted. All staff members and consultants, as in past practice, must convey to the Publications Board any requests for reprints of works prepared by them.

Section 7
Attribution to the United Nations and other specialized agencies

Where the United Nations and one or more of the specialized agencies or the International Atomic Energy Agency are jointly responsible for the preparation of a publication, their names and emblems may appear on the cover and title page as authors (see ST/AI/189/Add.2, paras. 19 and 20; ST/AI/189/Add.2/Amend.2; and ST/AI/189/Add.21, paras. 6-9).

Section 8
Papers and articles by Government representatives and by authors outside the United Nations

Except as indicated elsewhere in the present instruction, papers and articles prepared by Government representatives or officials or by authors outside the United Nations Secretariat may be attributed to them.

Section 9
Attribution to a Government, foundation or other entity

9.1 Where a Government, foundation or other entity has cooperated or is jointly responsible with the United Nations for preparation of a paper or a publication, it may be given appropriate mention on the cover and the title page in such terms as the following:

> "Prepared in cooperation with [the Ministry of ... of the Government of ...] [the name of the foundation] [name of the entity]".

9.2 Alternatively, acknowledgement may be made in a foreword or preface.

Section 10
Disclaimers

When a publication is in whole or in part attributed to individual authors within the Organization, the prefatory matter shall contain a statement indicating the position of the United Nations towards such material. Such a disclaimer shall read:

> "The views expressed are those of the author(s) and do not necessarily reflect those of the United Nations."

Section 11
Exceptions

Exceptions from the provisions of the present instruction shall be permitted only in accordance with the policies and decisions of the Publications Board.

Section 12
Final provisions

12.1 The present administrative instruction shall enter into force on 2 September 2008.

12.2 Administrative instructions ST/AI/189/Add.6/Rev.4 of 12 February 1996 and ST/AI/189/Add.6/Rev.3 of 19 March 1990, both entitled "Attribution of authorship in United Nations documents, publications and other official papers", are hereby abolished.

(*Signed*) Angela **Kane**
Under-Secretary-General for Management

Annex

Placement of attribution of authorship for selected categories of United Nations publication

Type of report or publication	*Author/contributor*	*Placement of attribution*
1. Flagship and other major United Nations publications (see para. 3.4)	(a) United Nations departments, offices or regional commissions	(a) Front cover
	(b) Organizational entities smaller than a department, office or regional commission, or individual staff, providing overall guidance/coordination	(b) Acknowledgements page, inside the publication
	(c) Authors/coordinators of chapters; staff involved in drafting and in preparing statistical information; copy editors; other staff contributing original text, graphics, translation etc.	(c) Acknowledgements page, inside the publication, back page or back cover, with professional affiliations but no specific chapter-by-chapter attribution
2. Intergovernmental reports and major publications substantially repackaged for wider public dissemination (see para. 3.4)	(a) Authors/editors contributing original text	(a) Inside the report or publication
	(b) Other staff contributing original text, graphics, translation etc.	(b) Acknowledgements page, back page or back cover, with professional affiliations but no specific chapter-by-chapter attribution
3. Technical reports, publications and collections (see para. 3.5)	(a) Editors/single authors	(a) Front cover
	(b) Authors of specific chapters/papers	(b) Acknowledgements page, inside the report or publication, table of contents or chapter heads
	(c) Other staff contributing original text, graphics, translation etc.	(c) Acknowledgements page, reverse-of-title page, back page or back cover, with professional affiliations but no specific chapter-by-chapter attribution